

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/085,428	02/28/2002	Preston Keusch	001160CONCON

26285
KIRKPATRICK & LOCKHART LLP
535 SMITHFIELD STREET
PITTSBURGH, PA 15222

CONFIRMATION NO. 4867

FORMALITIES LETTER



OC000000007818855

Date Mailed: 04/08/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$18.
 ■ \$18 for 1 total claims over 20.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 888.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/19/2002 CNGUYEN 00000058 10085428

01 FC:101	740.00 OP
02 FC:105	130.00 OP
03 FC:103	18.00 OP



09-18-02

#3
MP/4
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Keusch et al.
Application No.: 10/085,428
Filed: February 28, 2002

For: IONTOPHORETIC DRUG DELIVERY DEVICE AND RESERVOIR AND METHOD OF
MAKING THE SAME

Box: Missing Part
Commissioner for Patents
Washington, DC 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET793313263US

Date of Deposit September 17, 2002

I hereby certify that the following attached paper or fee

**COMPLETION OF FILING REQUIREMENTS-NONPROVISIONAL APPLICATION
COPY OF PTO FORM-1533
STATEMENT BY ATTORNEY
CHECK PAYABLE TO PTO**

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box: Missing Part, Commissioner for Patents, Washington, DC 20231.

Beth H. Retort
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

NOTE: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

NOTE: The label number need not be placed in each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

(Express Mail Certificate [8-3])



#8

Applicant's Docket No. 001160CIPCIPCON

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Keusch et al.

Application No.: 10/085,428

Filed: February 28, 2002

For: IONTOPHORETIC DRUG DELIVERY DEVICE AND RESERVOIR AND METHOD OF MAKING THE SAME

Box: Missing Part
Commissioner for Patents
Washington, DC 20231

**COMPLETION OF FILING REQUIREMENTS
— NONPROVISIONAL APPLICATION**

(check and complete this item, if applicable)

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed April 8, 2002.

NOTE: If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

- ☒ A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

NOTE: The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

- ☐ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Box: Missing Part, Commissioner for Patents, Washington, DC 20231.

FACSIMILE

- ☐ transmitted by facsimile to the Patent and Trademark Office.

09/19/2002 CNGUYEN 00000058 10085428

04 FC:118 Date: 1440.00 OP

Signature

(type or print name of person certifying)

(Completion of Filing Requirements — Nonprovisional Application [5-1]--page 1

PI-903625 v1 0804235-0028

DECLARATION OR OATH

- II. ☐ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. § 1.48(f)(1).

OR

- ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date complete item VI(3) below.

NOTE: "The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 C.F.R. 1.63:

"(1) name of inventor(s), and application number (consisting of the series code and the serial number; e.g., 08/123,456);

"(2) name of inventor(s), serial number and filing date;

"(3) name of inventor(s) and attorney docket number which was on the specification as filed;

"(4) name of inventor(s), title which was on the specification as filed and filing date;

"(5) name of inventor(s), title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or

"(6) name of inventor(s), title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number; e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration."

Notice of Jul. 13, 1995 (1177 O.G. 60); M.P.E.P. § 601.01(a), 6th ed., rev. 3.

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. 1.10(c).

(complete (c) or (d), if applicable)

Attached is a

- (c) ☒ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

AMENDMENT CANCELLING CLAIMS

- III. ☐ Cancel claims _____ inclusive.

**TRANSMITTAL OF ENGLISH TRANSLATION
OF NON-ENGLISH LANGUAGE PAPERS**

- IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

NOTE: For fee processing a non-English application, complete item VI(5) below.

NOTE: A non-English oath or declaration in the form provided by the PTO need not be translated. 37 C.F.R. 1.69(b).

SMALL ENTITY STATUS

- V. ☐ A statement that this filing is by a small entity is hereby asserted in accordance with the rule change effective September 8, 2000, 65 Fed. Reg. 54603.

COMPLETION FEES

VI.

WARNING: Failure to submit the surcharge fees where required will cause the application to become abandoned.
37 C.F.R. 1.53.

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 1.28(a).

1. Filing fee

- ☒ original patent application
(37 C.F.R. 1.16(a)—\$740.00; Small entity—\$370.00)\$ 740.00
- ☐ design application
(37 C.F.R. 1.16(f)—\$320.00; small entity—\$160.00) \$
\$

2. Fees for claims

- ☐ each independent claim in excess of 3
(37 C.F.R. 1.16(b)—\$84.00; small entity—\$42.00) \$
- ☒ each claim in excess of 20
(37 C.F.R. 1.16(c)—\$18.00; small entity—\$9.00) \$ 18.00
- ☐ multiple dependent claim(s)
(37 C.F.R. 1.16(d)—\$280.00; small entity—\$140.00) \$

3. Surcharge fees

☒ late payment of filing fee

and/or

☐ late filing of original declaration or oath
(37 C.F.R. 1.16(e)—\$130.00; small entity—\$65.00); \$ 130.00

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 C.F.R. 1.16(e).

4. ☐ Petition and fee for filing by other than all the inventors
or a person not the inventor (37 C.F.R. 1.17(i) and
1.47—\$130.00) \$ _____

5. ☐ Fee for processing an application filed with a
specification in a non-English language
(37 C.F.R. 1.17(k) and 1.52(d)—\$130.00) \$ _____

6. ☐ Fee for processing and retention of application
(37 C.F.R. 1.21(l) and 1.53(d)—\$130.00) \$ _____

7. ☐ Assignment (See "ASSIGNMENT COVER SHEET".)

NOTE: 37 C.F.R. 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. 1.53(f) and this, as well as, the changes to 37 C.F.R. 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(l) within 1 year of notification under § 1.53(f) must be paid.

Total completion fees \$ 888.00

EXTENSION OF TIME

VII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. 1.136(a) apply.

(a) ☒ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$200.00
<input type="checkbox"/> three months	\$ 920.00	\$460.00
<input checked="" type="checkbox"/> four months	\$1,440.00	\$720.00
<input type="checkbox"/> five months	\$1,960.00	\$980.00
		<u>Fee \$ 1,440.00</u>

If an additional extension of time is required, please consider this a petition therefor.
(check and complete the next item, if applicable)

- ☐ An extension for ____ months has already been secured, and the fee paid therefor of \$ ____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ 1,440.00

or

- (b) ☐ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VIII.

The total fee due is

Completion fee(s)	\$ <u>888.00</u>
Extension fee (if any)	\$ <u>1,440.00</u>

Total Fee Due \$ 2,328.00

PAYMENT OF FEES

IX.

- ☒ Enclosed is a check in the amount of \$ 2,328.00
- ☐ Charge Account No. _____ in the amount of \$ _____
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. 1.22(b).

Please charge Account No. 11-1110 for any fees that may be due by this paper.

AUTHORIZATION TO CHARGE ADDITIONAL FEES

X.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

- ☒ The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 11-1110.

☒ 37 C.F.R. 1.16(a), (f) or (g) (filing fees)

☒ 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

☒ 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

☒ 37 C.F.R. §§ 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))

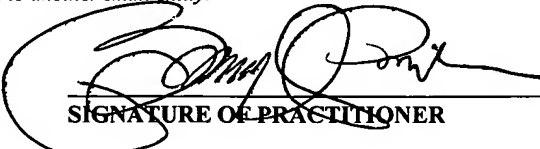
☒ 37 C.F.R. 1.17 (application processing fees)

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

☐ 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. 1.311(b).

NOTE: 37 C.F.R. 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee . . ." From the wording of 37 C.F.R. 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.


SIGNATURE OF PRACTITIONER

Reg. No. 46,993

Bernard G. Pike
(type or print name of practitioner)

Tel. No.: (412) 355-8620

Kirkpatrick & Lockhart LLP
P.O. Address

Henry W. Oliver Building
535 Smithfield Street
Pittsburgh, PA 15222-2312

Customer No. 26285



Practitioner's Docket No. 001160CIPCIPCON

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Keusch et al.**

Application No.: **10/085,428**

Filed: **February 28, 2002**

For: **IONTOPHORETIC DRUG DELIVERY DEVICE AND RESERVOIR AND METHOD OF MAKING THE SAME**

**Box: Missing Part
Commissioner for Patents
Washington, DC 20231**

**STATEMENT BY PRACTITIONER THAT APPLICATION FILED IN PTO
IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION**

NOTE: *This form is to be used when the declaration only indicates the name(s) of the inventor(s) and the title of the invention. Notice of September 12, 1983, 1035 O.G. 3.*

I,

Bernard G. Pike

Name of Practitioner

Kirkpatrick & Lockhart LLP

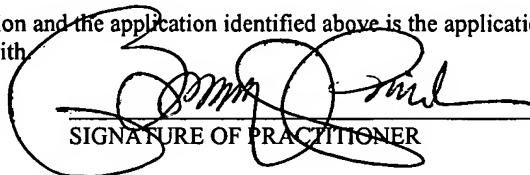
P.O. Address

Henry W. Oliver Building, 535 Smithfield Street, Pittsburgh, Pennsylvania 15222-2312

Reg. No. 46,993

Tel. No. (412) 355-8620

state I am the registered practitioner for this application and the application identified above is the application that the inventor(s) executed by signing the declaration that is being submitted herewith.


SIGNATURE OF PRACTITIONER

Customer No.: _____

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☐ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, Washington, DC 20231.

Date: _____

FACSIMILE

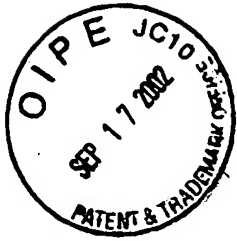
☐ transmitted by facsimile to the Patent and Trademark Office.

Signature _____

(type or print name of person certifying)

(Statement by Practitioner That Application Filed in PTO is the One Inventor Executed by Signing Declaration)

[5-10])



28-02
04CO

0300/114

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Keusch et al.
Application No.: 10/085,428
Filed: February 28, 2002

For: IONTOPHORETIC DRUG DELIVERY DEVICE AND RESERVOIR AND METHOD OF MAKING THE SAME

Commissioner for Patents
Washington, DC 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET793313250US

Date of Deposit September 17, 2002

I hereby certify that the following attached paper or fee

AMENDMENT TRANSMITTAL
PRELIMINARY AMENDMENT
CHECKS PAYABLE TO PTO (For Extra Claims Fees)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, DC 20231.

Beth H. Retort

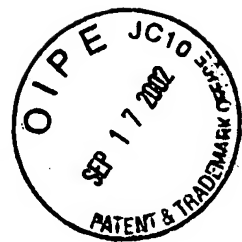
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

NOTE: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

NOTE: The label number need not be placed in each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

(Express Mail Certificate [8-3])



Attorney's Docket No. 001160CIPCIPCON

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Keusch et al.

Application No.: 10/085,428

Filed: February 28, 2002

For: IONTOPHORETIC DRUG DELIVERY DEVICE AND RESERVOIR AND
METHOD OF MAKING THE SAME

Commissioner for Patents
Washington, DC 20231

AMENDMENT TRANSMITTAL

1. Transmitted herewith is an amendment for this application.

STATUS

2. Applicant is

☐ a small entity. A verified statement:

☐ is attached.

☐ was already filed.

☒ other than a small entity.

CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☐ deposited with the United States
Postal Service with sufficient postage as
first class mail in an envelope addressed
to the Assistant Commissioner for Patents,
Washington, D.C. 20231.

FACSIMILE

☐ transmitted by facsimile to the
Patent and Trademark Office.

Signature

(type or print name of person certifying)

EXTENSION OF TERM

NOTE: "Extension of Time in Patent Cases (Supplement Amendments) - If a timely and complete response has been filed after a Non-Final Office Action, an extension of time is not required to permit filing and/or entry of an additional amendment after expiration of the shortened statutory period.

If a timely response has been filed after a Final Office Action, an extension of time is required to permit filing and/or entry of a Notice of Appeal or filing and/or entry of an additional amendment after expiration of the shortened statutory period unless the timely-filed response placed the application in condition for allowance. Of course, if a Notice of Appeal has been filed within the shortened statutory period, the period has ceased to run." Notice of December 10, 1985 (1061 O.G. 34-35).

NOTE: See 37 CFR 1.645 for extensions of time in interference proceedings, and 37 CFR 1.550(c) for extensions of time in reexamination proceedings.

3. The proceedings herein are for a patent application and the provisions of 37 CFR 1.136 apply.

(complete (a) or (b), as applicable)

(a) ☐ Applicant petitions for an extension of time under 38 CFR 1.136
(fees: 37 CFR 1.17(a)-(d) for the total number of months checked below:

Extension (months)	Fee for other than <u>small entity</u>	Fee for <u>small entity</u>
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$200.00
<input type="checkbox"/> three months	\$ 920.00	\$460.00
<input type="checkbox"/> four months	\$1,440.00	\$720.00

Fee \$ _____ .

If an additional **extension** of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

☐ An extension for _____ months has already been secured and the fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request **\$400.00**

OR

(b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

FEE FOR CLAIMS

4. The fee for claims (37 CFR 1.16(b)-(d) has been calculated as shown below:

(Col. 1)		(Col. 2)		(Col. 3)		SMALL ENTITY		OTHER THAN A SMALL ENTITY	
CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO PREVIOUSLY PAID FOR		PRESENT EXTRA		RATE	ADDIT. FEE	OR	ADDIT. FEE
TOTAL	48•	MINUS	21••	=	27	x9=	\$0		x18= \$486.
INDEP.	6•	MINUS	3•••	=	3	x 42=	\$0		X84= \$252
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM						+130=	\$		+280= \$
						TOTAL ADDIT. FEE	\$0	OR	TOTAL ADDIT. FEE \$738.

- If the entry in Col. 1 is less than entry in Col. 2, write "Y" in Col. 3.
- If the "Highest No. Previously Paid for" IN THIS SPACE is less than 20, enter "20."
- If the "Highest No. Previously Paid for" IN THIS SPACE is less than 3, enter "3."
The "Highest No. Previously Paid for" (Total or indep.) is the highest number found in the appropriate box in Col. 1 of a prior amendment or the number of claims originally filed.

WARNING "After final rejection or action (§ 1.113) amendments may be made cancelling claims or complying with any requirement of form which has been made." 37 CFR § 1.116(a) (emphasis added).

Complete (c) or (d), as applicable)

(c) ☐ No additional fee for claims is required.

OR

(d) ☒ Total additional fee for claims required \$ 738.00

FEE PAYMENT

5. ☒ Attached is a check in the sum of \$ 738.00

☐ Charge Account No. _____ the sum of \$ _____

A duplicate of this transmittal is attached.

FEE DEFICIENCY

NOTE: *If there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO Finance Branch in order to apply these charges prior to action on the cases. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986, (1065 O.G. 31-33).*

6. ☒ If any additional extension and/or fee is required, charge Account No.
7. 11-1110

AND/OR

- ☒ If any additional fee for claims is required, charge Account No.
11-1110


SIGNATURE OF ATTORNEY

Bernard G. Pike
(type or print name of attorney)

Reg. No.: 46,993

Tel. No.: (412) 355-8620

Kirkpatrick & Lockhart LLP
P.O. Address
Henry W. Oliver Building
535 Smithfield Street
Pittsburgh, PA 15222-2312



001160000

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

JULY 31, 2001

KIRKPATRICK & LOCKHART, LLP
DAVID SCHRAMM, ESQ.
HENRY W. OLIVER BUILDING
535 SMITHFIELD STREET
PITTSBURGH, PA 15222-2312

PTAS

RECEIVED

101731125A

AUG 06 2001

KIRKPATRICK & LOCKHART LLP

UNITED STATES PATENT AND TRADEMARK OFFICE
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RECORDATION DATE: 05/18/2001

REEL/FRAME: 011796/0136
NUMBER OF PAGES: 6

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
DRUG DELIVERY TECHNOLOGIES, INC.

DOC DATE: 02/13/2001

ASSIGNEE:
VYTERIS, INC.
13-01 POLLITT DRIVE
FAIR LAWN, NEW JERSEY 07410

SERIAL NUMBER: 09315768
PATENT NUMBER:

FILING DATE: 05/20/1999
ISSUE DATE:

SERIAL NUMBER: 08939771
PATENT NUMBER:

FILING DATE: 09/29/1997
ISSUE DATE:

SERIAL NUMBER: 09384765
PATENT NUMBER:

FILING DATE: 08/27/1999
ISSUE DATE:

SERIAL NUMBER: 09382900
PATENT NUMBER:

FILING DATE: 08/25/1999
ISSUE DATE:

SERIAL NUMBER: 09328329
PATENT NUMBER:

FILING DATE: 06/09/1999
ISSUE DATE:

SERIAL NUMBER: 09610563
PATENT NUMBER:

FILING DATE: 06/30/2000
ISSUE DATE:

SERIAL NUMBER: 09162301
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FILING DATE: 09/28/1998
ISSUE DATE:

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PATENT NUMBER:

FILING DATE: 11/17/1997
ISSUE DATE:

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PATENT NUMBER:

FILING DATE: 01/10/2000
ISSUE DATE:

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PATENT NUMBER:

FILING DATE: 11/21/2000
ISSUE DATE:

SERIAL NUMBER: 08903048
PATENT NUMBER: 6228206

FILING DATE: 07/30/1997
ISSUE DATE: 05/08/2001

SERIAL NUMBER: 08825976
PATENT NUMBER: 5895369

FILING DATE: 04/04/1997
ISSUE DATE: 04/20/1999

SERIAL NUMBER: 08724414
PATENT NUMBER: 5857994

FILING DATE: 10/01/1996
ISSUE DATE: 01/12/1999

SERIAL NUMBER: 08835153
PATENT NUMBER: 6208891

FILING DATE: 04/04/1997
ISSUE DATE: 03/27/2001

SERIAL NUMBER: 07558944
PATENT NUMBER: 5037381

FILING DATE: 07/27/1990
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SERIAL NUMBER: 08722813
PATENT NUMBER: 5738647

FILING DATE: 09/27/1996
ISSUE DATE: 04/14/1998

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ISSUE DATE: 12/26/2000

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ISSUE DATE: 02/03/1998

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PATENT NUMBER: 5688232

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PATENT NUMBER: 5645526

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ISSUE DATE: 07/08/1997

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PATENT NUMBER: 5876368

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ISSUE DATE: 01/25/2000

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ISSUE DATE: 12/02/1997

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FILING DATE: 08/27/1997
ISSUE DATE: 04/04/2000

011796/0136 PAGE 5

SERIAL NUMBER: 08900889
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PATENT NUMBER: 6107777

FILING DATE: 07/25/1997
ISSUE DATE: 08/22/2000

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PATENT NUMBER:
PCT NUMBER: US0100744

FILING DATE:
ISSUE DATE:

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ASSIGNMENT DIVISION
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Expires 06/30/99
OMB 0651-0027

05-29-2001

U.S. Department of Commerce
Patent and Trademark Office
PATENT



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☐ Resubmission (Non-Recordation)

Document ID #

☐ Correction of PTO Error

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Conveyance Type

☐ Assignment

☐ License

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☐ Security Agreement

☒ Change of Name

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Area Code and Telephone Number

(412) 355-6719

Name David Schramm, Esq.

Address (line 1) Kirkpatrick & Lockhart, LLP

Address (line 2) Henry W. Oliver Building

Address (line 3) 535 Smithfield Street

Address (line 4) Pittsburgh, PA 15222-2312

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

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Application Number(s) or Patent Number(s)



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Patent Application Number(s)

09315768

09382900

09162301

08939771

09328329

08971458

09384765

09610563

09480540

Patent Number(s)

6228206

6208891

6167301

5895369

5037381

5713846

5857994

5738647

5688232

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number
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has not been assigned.

PCT US01/00744

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Enter the total number of properties involved.

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Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 2,600.00

Method of Payment:

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Deposit Account



Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

11-1110

Authorization to charge additional fees:

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No



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DAVID SCHRAMM

Name of Person Signing

David Schramm

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5/18/01

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Execution Date
Month Day Year

Execution Date
Month Day Year

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Patent Application Number(s)

09718135

Patent Number(s)

5645526

5817044

D366702

5256137

5334138

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D352357

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5131403

5919156

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6018680

5983133

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Execution Date
Month Day Year

Execution Date
Month Day Year

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Name (line 1)

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Patent Application Number(s)

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Name (line 1)

Execution Date
Month Day Year

Name (line 2)

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Execution Date
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Name (line 1)

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Application Number(s) or Patent Number(s)

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5246418	5735810	5882677
5873850	5792097	5851549
5320597	5693024	5310403
5961483	6047208	5935598
5306235	6009344	6107777

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PAGE 1

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THAT THE SAID "DRUG DELIVERY TECHNOLOGIES, INC.", FILED A CERTIFICATE OF AMENDMENT, CHANGING ITS NAME TO "VYTERIS, INC.", THE THIRTEENTH DAY OF FEBRUARY, A.D. 2001, AT 9 O'CLOCK A.M.



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

3260759 8320

AUTHENTICATION: 1063207

010165072

DATE: 04-04-01